

10/05/00

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PTO/SB/05 (1/98)
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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 0819-430

First Inventor or Application Identifier: Shinji NAKAMURA et al.

Title: SEMICONDUCTOR DEVICE, SEMICONDUCTOR SUBSTRATE,
AND MANUFACTURING METHOD

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. [X] Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. [X] Specification Total Pages [55]
(preferred arrangement set forth below)
- Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. [X] Drawing(s) (35 USC 113) Total Sheets [14]
4. [X] Oath or Declaration Total Pages [3]
- a. [X] Newly executed (original or copy)
 - b. [] Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]
 - i. [] DELETION OF INVENTOR(S)
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 CFR 1.63(d)(2) and 1.33(b).
5. [] Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a
copy of the oath or declaration is supplied under Box 4b,
is considered to be part of the disclosure of the
accompanying application and is hereby incorporated by
reference therein.

6. ☐ Microfiche Computer Program (*Appendix*)
7. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement ☒ Copies of IDS
(IDS)/PTO-1449 Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ *Small Entity ☐ Statement filed in prior application,
Statement(s) Status still proper and desired
(PTO/SB/09-12)
15. ☐ Certified Copy of Priority Document
16. ☐ Other:

*A new statement is required to be entitled to pay small entity fees, except where one has been filed in a prior application and is being relied upon.

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____
 Prior application information: Examiner: _____ Group/Art Unit: _____

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

Customer No. 22204

or [X] Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name: Eric J. Robinson
Firm: NIXON PEABODY LLP
Address: 8180 Greensboro Drive, Suite 800
City: McLean State: VA Zip Code: 22102
Country: U.S.A. Telephone (703) 790-9110 FAX (703) 883-0370

Name: Eric J. Robinson Registration No. 38,285

Signature Date: October 5, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.
These are the fees effective October 1, 1997. Small Entity
payments must be supported by a small entity statement,
otherwise large entity fees must be paid. See Forms
PTO/SB/09-12.

Complete If Known

Application Number
Filing Date October 5, 2000
First Named Inventor Shinji NAKAMURA et al.
Examiner Name
Group Art Unit
Attorney Docket Number 0819-430

TOTAL AMOUNT OF PAYMENT \$1,950.00

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
Deposit Account No. 19-2380
Deposit Account Name: NIXON PEABODY LLP
- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance
2. ☒ Payment Enclosed:
☒ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE		Large Entity		Small Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee (\$)		
101	710	201	355		Utility filing fee	[710]
106	320	206	160		Design filing fee	[]
107	490	207	245		Plant filing fee	[]
108	710	208	355		Reissue filing fee	[]
114	150	214	75		Provisional filing fee	[]
SUBTOTAL (1)						\$710.00

2. EXTRA CLAIM FEES		Extra Claims	Fee from Below	Fee Paid
Total Claims	<u>60</u>	- 20** =	<u>40</u>	X \$18.00 = \$720.00
Independent Claims	<u>9</u>	- 3** =	<u>6</u>	X \$80.00 = \$480.00
Multiple Dependent Claims				\$270.00 =
**or number previously paid, if greater, For Reissues, see below				
Large Entity		Small Entity		
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
109	80	209	40**	Reissue independent claims over original patent
110	18	210	9**	Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)				\$1,200.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES		Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65			Surcharge-late filing fee or oath	
127	50	227	25			Surcharge-late provisional filing fee or cover sheet	
139	130	139	130			Non-English specification	
147	2,520	147	2,520			For filing a request for reexamination	
112	920*	112	920*			Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*			Requesting publication of SIR after Examiner action	
115	110	215	55			Ext for reply within first month	
116	380	216	190			Ext for reply within second mth	
117	870	217	435			Ext for reply within third mth	
118	1,360	218	680			Ext for reply within fourth mth	
128	1,850	228	925			Ext for reply within fifth month	
119	300	219	150			Notice of Appeal	
120	300	220	150			Filing brief in support of appeal	
121	260	221	130			Request for Oral Hearing	
138	1,510	138	1,510			Petition to institute public use proceeding	
140	110	240	55			Petition to revive-unavoidable	
141	1,210	241	605			Petition to revive-unintentional	
142	1,210	242	605			Utility issue fee (or reissue)	
143	430	243	215			Design issue fee	
144	580	244	290			Plant issue fee	
122	130	122	130			Petitions to the Commissioner	
123	50	123	50			Petitions related to provisional applications	
126	240	126	240			Submission of IDS	
581	40	581	40			Recording each patent assignment per property (times number of properties)	\$40.00
146	760	246	380			Filing a submission after final rejection (37 CFR 1.129(a))	
149	760	249	380			For each additional invention to be examined (37 CFR 1.129(b))	
Other						Other	
Other						Other	
*Reduced by Basic Filing Fee Paid							
SUBTOTAL (3)							\$40.00

SUBMITTED BY

Typed or Printed Name Eric J. Robinson

Signature

Date

October 5, 2000

Deposit Account User ID

19-2380

Complete (if applicable)

Reg. Number

38,285

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